



RECEIVED
FILE COPY

CERTIFICATE OF MAILING
37 C.F.R. 1.8

I hereby certify that this correspondence is being deposited with the U.S. Postal Service with sufficient postage as First Class Mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, DC 20231, on the date below:

14 Sept. 1999

Date

Richard C. Ouellette

Signature

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Uresh K. Vahalia & Percy Tzelnic

Serial No.: Unknown

Filed: March 3, 1999

For: File Server System Providing Direct Data
Sharing Between Clients With A Server
Acting As An Arbiter and Coordinator

Group Art Unit: Unknown

Examiner: Unknown

Atty. Dkt. No.: EMCR:039/A200C

RECEIVED
NOV 22 1999
TECH CENTER 2200

REQUEST FOR FILING RECEIPT AND IDENTIFICATION
OF CORRECT SERIAL NUMBER OF APPLICATION

Attention: Application Branch
Assistant Commissioner for Patents
Washington, D.C. 20231

Applicants have received a return post card identifying the subject application as Serial No. 09/261,622 dated March 3, 1999. A copy is attached as Exhibit A. Applicants have also received a recorded Assignment (Reel 9803/0548) identifying the subject application as Serial No. 09/261,621. A copy is attached as Exhibit B. The serial number on the return post card is different from the serial number on the recorded assignment.

Applicants have not received an Official Filing Receipt for the subject application, yet the application was filed more than six months ago.

Applicants need to know the correct serial number to file additional papers for the subject patent application, including an information disclosure statement attached as Exhibit C and references, which are not attached because they are voluminous.

The undersigned telephoned the application branch at 703-308-1203 on September 14, 1999, in an attempt to resolve this problem, but was told that any request to identify the correct serial number must be made in writing.

In view of the above, please provide the undersigned with the correct serial number for the subject patent application. Please provide an Official Filing Receipt including the correct serial number. If the correct serial number is different from the number in the recorded assignment, please correct the assignment recording information and provide a copy of the corrected assignment record.

Respectfully submitted,



Richard C. Auchterlonie
Reg. No. 30,607
ARNOLD WHITE & DURKEE
P.O. Box 4433
Houston, Texas 77210
(713) 787-1400



**UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office**

ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

FILE COPY

Application Filing Date

Date: 10-6-99

Application Number: 09/26162

TECH CENTER 2700

NOV 22 1999

RECEIVED

Dear Applicant or Attorney of Record:

In response to your request for a corrected Filing Receipt, we are unable to comply with your request because:

- ☒ The correct application number appears on the Filing Receipt. Your postcard included an incorrect application number. Please update your records to reflect the application number on the enclosed Filing Receipt. See MPEP 503.
- ☐ If your application was submitted under 37 CFR 1.10, your filing date should be the "date in" found on the Express Mail label. If there is a discrepancy, a request for a corrected Filing Receipt should be submitted along with a copy of the Express Mail label showing the "date in."
- ☐ No copy of the Express Mail label is enclosed with your request. Please resubmit.
- ☐ The date on the Express Mail label is the date given on the Filing Receipt.
- ☐ The filing date accorded to the application is the date the application met the filing date requirement of 37 CFR 1.53(b) or (c).
- ☐ The continuity filing date for an application cannot be changed with this request. You must request a corrected Filing Receipt for that particular application.
- ☐ Applications submitted under 37 CFR 1.8 are accorded a filing date as of the date the application is received in the Patent and Trademark Office.
- ☐ The date on your return postcard is the same as your Filing Receipt.
- ☐ A petition under 37 CFR 1.10 or 1.53 is needed to correct the filing date.

Any corrections that may need to be done to your Filing Receipt should be directed to:

Assistant Commissioner for Patents
Office of Initial Patent Examination
Customer Service Center
Washington, DC 20231

FILING DATE

FILE COPY

| | | | | |
|-----------------------------|-------------------------|--------------|------------------------|---------------------|
| SERIAL NUMBER 09/261,621 | FILING DATE 03/03/99 | CLASS 709 | GROUP ART UNIT 2755 | ATTORNEY DOCKET NO. |
|-----------------------------|-------------------------|--------------|------------------------|---------------------|

APPLICANT

URESH K VAHALIA, WABAN, MA; PERCY TZELNIC, CONCORD, MA.

CONTINUING DOMESTIC DATA***
VERIFIED

371 (NAT'L STAGE) DATA***
VERIFIED

FOREIGN APPLICATIONS***
VERIFIED

RECEIVED
NOV 22 1999
TECH CENTER 2700

IF REQUIRED, FOREIGN FILING LICENSE GRANTED 03/25/99

| | | | | | |
|---|---|---------------------------|-------------------------|-----------------------|----------------------------|
| Foreign Priority claimed 35 USC 119 (a-d) conditions met | <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> yes <input type="checkbox"/> no <input type="checkbox"/> Met after Allowance | STATE OR COUNTRY MA | SHEETS DRAWING 23 | TOTAL CLAIMS 49 | INDEPENDENT CLAIMS 6 |
| Verified and Acknowledged Examiner's Initials _____ Initials _____ | | | | | |

ADDRESS

ARNOLD WHITE & DURKEE
P O BOX 4433
HOUSTON TX 77210

TITLE

FILE SERVER SYSTEM PROVIDING DIRECT DATA SHARING BETWEEN CLIENTS WITH
A SERVER ACTING AS AN ARBITER AND COORDINATOR

| | | |
|---------------------------------------|---|---|
| FILING FEE RECEIVED \$1,516 | FEES: Authority has been given in Paper No. _____ to charge/credit DEPOSIT ACCOUNT NO. _____ for the following: | <input type="checkbox"/> All Fees <input type="checkbox"/> 1.16 Fees (Filing) <input type="checkbox"/> 1.17 Fees (Processing Ext. of time) <input type="checkbox"/> 1.18 Fees (Issue) <input type="checkbox"/> Other _____ <input type="checkbox"/> Credit |
|---------------------------------------|---|---|

Please indicate receipt of the below identified paper:

| | | | |
|--|--|---|------------------------------|
| <input checked="" type="checkbox"/> New Application For: | Patent | Priority Date: | 1c511 U.S. PTO 09/26/99 |
| <input type="checkbox"/> Foreign priority already claimed | | | |
| <input type="checkbox"/> Continuation | <input type="checkbox"/> CIP | <input type="checkbox"/> Divisional | CPA <input type="checkbox"/> |
| <input checked="" type="checkbox"/> Specification: 71 Pages | | <input checked="" type="checkbox"/> Drawings: 23 Sheets | 03/03/99 |
| <input type="checkbox"/> Response to Office Action Dated: | | <input type="checkbox"/> Final Rejection | |
| <input checked="" type="checkbox"/> Other: Transmittal Letter, Assignment Cover Sheet, Declaration | | | |
| <input checked="" type="checkbox"/> Assignment Enclosed | <input type="checkbox"/> Cert. of Timely Mailing | <input checked="" type="checkbox"/> Exp. Mail: | EL018590427US |

IDENTIFICATION OF APPLICATION

| | |
|---------------|---|
| Serial No.: | |
| Title: | FILE SERVER SYSTEM PROVIDING DIRECT DATA SHARING BETWEEN CLIENTS WITH A SERVER ACTING AS AN ARBITER AND COORDINATOR |
| Applicant: | Uresh K. Vahalia and Percy Tzelnic |
| Client: | EMC Corporation |
| Mailed: | 03/03/99 |
| Filed: | 03/03/99 |
| Attorney: | AUC |
| AWD File No.: | EMCR:039 |
| Due Date: | |





B. All
UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

MAY 26, 1999

PTAS

ARNOLD WHITE & DURKEE
RICHARD C. AUCHTERLONIE
P.O. BOX 4433
HOUSTON, TEXAS 77210



100985015A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 03/03/1999

REEL/FRAME: 9803/0548
NUMBER OF PAGES: 4

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
VAHALIA, URESH K.

DOC DATE: 03/02/1999

ASSIGNOR:
TZELNIC, PERCY

DOC DATE: 03/02/1999

ASSIGNEE:
EMC CORPORATION
35 PARKWOOD DRIVE
HOPKINTON, MASSACHUSETTS 01748

SERIAL NUMBER: 09261621
PATENT NUMBER:

FILING DATE: 03/03/1999
ISSUE DATE:

TARA WASHINGTON, EXAMINER
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS

Emc039
DOCKETED ☒ UPDATED ☐
Previously ☐ Not Required ☐
Appl. Info ☐
Reg/Grant Info ☐
Action Required: Assignment
Recordation
Date Due/Date: ☐
By: 7 Checked 4

REC'D. - A. W. & D.

JUN 04 1999

HOUSTON DOCKETING DEPT.



03-15-1999

FORM PTO-1595
(Rev. 6-93)

OMB No. 0651-0011 (exp. 4/94)

U.S. Department of Commerce

Patent and Trademark Office

100985015

To the Honorable Commissioner of Patents and Trademarks: Please record the attached original document or copy thereof.

1. Name of conveying party(ies):

Uresh K. Vahalia and Percy Tzelnic

Additional name(s) of conveying party(ies) attached? ☐ Yes ☒ No

3. Nature of conveyance:

☒ Assignment☐ Security Agreement☐ Other☐ Merger☐ Change of Name

Execution Date: March 2, 1999

2. Name and address of receiving party(ies):

Name: EMC Corporation

Street Address: 35 Parkwood Drive

City: Hopkinton State: MA Zip: 01748

Additional name(s) & address(es) attached? ☐ Yes ☒ No

4. Application number(s) or registration number(s): 09/261,621

If this document is being filed together with a new application, the execution date of the application is: February 23 and March 2, 1999

A. Patent Application No.(s):

B. Patent No.(s):

Additional numbers attached? ☐ Yes ☒ No

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Richard C. Auchterlonie (EMCR:039)

Arnold White & Durkee

P.O. Box 4433

City: Houston State: Texas Zip: 77210

6. Total number of applications and patents involved: 1

7. Total fee (37 C.F.R. 3.41) \$ 40

☐ Enclosed☒ Authorized to be charged to deposit account

8. Deposit account number: EMC Corporation Deposit Account No. 05-0889/EMC-98-092; if this account is insufficient, charge Arnold White & Durkee Deposit Account No. 01-2508/EMCR:039

(Attach duplicate copy of this page if paying by deposit account)

03/12/1999 JSHABAZZ 00000048 012508 09261621

01 FC:501 40.00 CH

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Richard C. Auchterlonie

3/3/99

Name of Person Signing, Reg. No. 30,607

Signature

Date

Total number of pages including cover sheet, attachments and documents: 4

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks, Office of Public Records,
Crystal Gateway 4, Room 335, Washington, D.C. 20231

EXPRESS MAIL MAILING LABEL:

NUMBER EL018590427US

DATE OF DEPOSIT March 3, 1999

I hereby certify that this paper or fee is being deposited with the United States Postal Service "EXPRESS MAIL POST OFFICE TO ADDRESSEE" service under 37 C.F.R. 1.10 on the date indicated above and is addressed to: Assistant Commissioner for Patents, Washington D.C. 20231.

Signature

ASSIGNMENT

FOR GOOD AND VALUABLE CONSIDERATION, the receipt, sufficiency and adequacy of which are hereby acknowledged, the undersigned, does hereby:

SELL, ASSIGN AND TRANSFER to EMC Corporation (the "Assignee"), having a place of business at 35 Parkwood Drive, Hopkinton, Massachusetts 01748, the entire right, title and interest for the United States and all foreign countries in and to any and all improvements which are disclosed in the application for United States Letters Patent, which has been executed by the undersigned concurrently herewith and is entitled "**FILE SERVER SYSTEM PROVIDING DIRECT DATA SHARING BETWEEN CLIENTS WITH A SERVER ACTING AS AN ARBITER AND COORDINATOR**" such application and all divisional, continuing, substitute, renewal, reissue and all other applications for patent which have been or shall be filed in the United States and all foreign countries on any of such improvements; all original and reissued patents which have been or shall be issued in the United States and all foreign countries on such improvements; and specifically including the right to file foreign applications under the provisions of any convention or treaty and claim priority based on such application in the United States;

AUTHORIZE AND REQUEST the issuing authority to issue any and all United States and foreign patents granted on such improvements to the Assignee;

WARRANT AND COVENANT that no assignment, grant, mortgage, license or other agreement affecting the rights and property herein conveyed has been or will be made to others by the undersigned, and that the full right to convey the same as herein expressed is possessed by the undersigned;

COVENANT, when requested and at the expense of the Assignee, to carry out in good faith the intent and purpose of this assignment, the undersigned will execute all divisional, continuing, substitute, renewal, reissue, and all other patent applications on any and all such improvements; execute all rightful oaths, declarations, assignments, powers of attorney and other papers; communicate to the Assignee all facts known to the undersigned relating to such improvements and the history thereof; and generally do everything possible which the Assignee shall consider desirable for vesting title to such improvements in the Assignee, and for securing, maintaining and enforcing proper patent protection for such improvements;

TO BE BINDING on the heirs, assigns, representatives and successors of the undersigned
and extend to the successors, assigns and nominees of the Assignee.

Signature: Uresh Vahalia
Name: **Uresh K. Vahalia**

Date: 3/2/99

Signature: Percy Tzelnic
Name: **Percy Tzelnic**

Date: 3/2/99

STATE OF MASSACHUSETTS)
) ss.
COUNTY OF Middlesex)

BEFORE ME, the undersigned authority, on this 2nd day of March, 1999,
personally appeared **Uresh K. Vahalia**, known to me to be the person whose name is subscribed
to the foregoing instrument and acknowledged to me that he executed the same of his own free
will for the purposes and consideration therein expressed.

William J. Turner
Notary or Consular Officer

[SEAL]

STATE OF MASSACHUSETTS)
) ss.
COUNTY OF Middlesex)

BEFORE ME, the undersigned authority, on this 2nd day of March, 1999,
personally appeared **Percy Tzelnic**, known to me to be the person whose name is subscribed to
the foregoing instrument and acknowledged to me that he executed the same of his own free will
for the purposes and consideration therein expressed.

William J. Turner
Notary or Consular Officer

[SEAL]

ARNOLD, WHITE & DURKEE

P. O. Box 4433
Houston, Texas 77210

2001 Jefferson Davis Hwy., Ste. 401
Arlington, Virginia 22202



Form PTO-1449 (modified)

Atty. Docket No.
EMCR:039Serial No.
Unknown

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicants

Uresh K. Vahalia & Percy Tzelnic

Filing Date:

March 3, 1999

Group:

Unknown

U.S. Patent Documents

See Page 1

Foreign Patent Documents

See Page 2

Other Art

See Page 2

U.S. Patent Documents

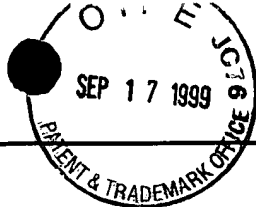
| Exam. Init. | Ref. Des. | Document Number | Date | Name | Class | Sub Class | Filing Date of App. |
|-------------|-----------|-----------------|----------|-------------------|-------|-----------|---------------------|
| | A. | 5,893,140 | 04/06/99 | Vahalia et al | 711 | 118 | 11/13/96 |
| | B. | 5,892,915 | 04/06/99 | Duso et al. | 395 | 200.49 | 05/05/97 |
| | C. | 5,802,301 | 09/01/98 | Dan et al. | 395 | 200.53 | 05/11/94 |
| | D. | 5,742,792 | 04/21/98 | Yanai et al. | 395 | 489 | 05/28/96 |
| | E. | 5,646,676 | 07/08/97 | Dewkett et al. | 348 | 7 | 05/30/95 |
| | F. | 5,630,067 | 05/13/97 | Kindell et al. | 395 | 200.09 | 06/04/96 |
| | G. | 5,583,995 | 12/10/96 | Gardner et al. | 395 | 200.09 | 06/30/95 |
| | H. | 5,557,611 | 09/17/96 | Cappellari et al. | 370 | 60.1 | 07/19/95 |
| | I. | 5,544,327 | 08/06/96 | Dan et al. | 395 | 250 | 07/26/94 |
| | J. | 5,544,313 | 08/06/96 | Shachnai et al. | 395 | 200.01 | 05/11/94 |
| | K. | 5,544,347 | 08/06/96 | Yanai et al. | 395 | 489 | 04/23/93 |
| | L. | 5,526,414 | 06/11/96 | Bédard et al. | 379 | 221 | 10/26/94 |
| | M. | 5,461,611 | 10/24/95 | Drake, Jr. et al. | 370 | 54 | 06/07/94 |
| | N. | 5,381,539 | 01/10/95 | Yanai et al. | 395 | 425 | 01/04/92 |
| | O. | 5,335,352 | 08/02/94 | Yanai et al. | 395 | 800 | 09/24/90 |
| | P. | 5,206,939 | 04/27/93 | Yanai et al. | 395 | 400 | 09/24/90 |
| | Q. | 5,146,605 | 09/08/92 | Beukema et al. | 395 | 575 | 01/23/91 |
| | R. | 4,577,272 | 03/18/86 | Ballew et al. | 364 | 200 | 06/27/83 |

EXAMINER:

DATE CONSIDERED:

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)



Form PTO-1449 (modified)

Atty. Docket No.
EMCR:039Serial No.
Unknown

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicants

Uresh K. Vahalia & Percy Tzelnic

Filing Date:

March 3, 1999

Group:

Unknown

U.S. Patent Documents

See Page 1

Foreign Patent Documents

See Page 2

Other Art

See Page 2

Foreign Patent Documents

| Exam. Init. | Ref. Des. | Document Number | Date | Country | Class/ Sub Class | Translation Yes/No |
|-------------|-----------|-----------------|---------|---------|------------------|--------------------|
| | | WO 97/16023 | 05/1997 | PCT | H04N 7/173 | |

Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

| Exam. Init. | Ref. Des. | Citation |
|-------------|-----------|---|
| DN | C1 | Fibre Channel--FAQ's Answers, Technology, March 18, 1998, pp. 1-15; http://www.fibrechannel.com/technology/answer.htm |
| DN | C2 | Fiber Channel Tutorial, Technology, pp 1-8, March 7, 1998, pp. 1-8; http://www.fibrechannel.com/technology/tutorial.htm |
| DN | C3 | Networking Group, Internet-Draft, Paul J. Leach, Dilip C. Naik, "A Common Internet File System (CIFS/1.0) Protocol", December 19, 1997, pp. 1-121 |
| DN | C4 | Fibre Channel Overview, Zoltán Meggyesi, KFKI - RMKI, Research Institute for Particle and Nuclear Physics, December 9, 1997; pp 1-10, http://www1.cern.ch/HSI/fcs/spec/overview.htm |
| DN | C5 | Fibre Channel, TR-20-199x, "Fabric Loop Attachment" (FC-FLA) Rev. 2.7, NCITS Working Draft Proposed Technical Report, August 12, 1997, pp. i-xiv, 1-122. |
| DN | C6 | TINA, "A Common Software Architecture for Multimedia and Information Services" Emmanuel Darmois, Motoo Hoshi, August 9, 1997, pp. 1-6. http://www.tinac.com/about/nutshell.htm ; |
| DN | C7 | IEEE/IEEE Electronic Library, "Performance Model of the Argonne Voyager" Dixz, T.; Olson, R; Stevens, R.; Div. of Math & Comput.Sci., Argonne Nat. Lab, IL, USA; Application-Specific Systems, Architectures and Processors 1997, Conference held: July 14-16, 1997, pp. 316-327. |

EXAMINER:

DATE CONSIDERED:

03/06/02

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)



Form PTO-1449 (modified)

Atty. Docket No.
EMCR:039Serial No.
Unknown

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicants

Uresh K. Vahalia & Percy Tzelnic

Filing Date:

March 3, 1999

Group:

Unknown

U.S. Patent Documents

See Page 1

Foreign Patent Documents

See Page 2

Other Art

See Page 2

Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

| Exam. Init. | Ref. Des. | Citation |
|-------------|-----------|--|
| DN | C8 | IEEE/IEE Electronic Library, "Scheduling for Interactive Operations in Parallel Video Servers" Min-You Wu; Wei Shu, Dept. of Comput. Sci., State Univ. of New York, Buffalo, NY; Multimedia Computing and Systems '97, June 3-6, 1997, pp. 178-185. |
| DN | C9 | IEEE/IEE Electronic Library, "On The Efficient Retrieval of VBR Video in a Multimedia Server" Sambit Shau; Zhi-Li Zhang; Kurose, J.; Towsley, D. Dept. of Comput. Sci., Massachusetts Univ., MA. Multimedia Computing and Systems '97, June 3-6, 1997, pp. 46-53. |
| DN | C10 | IEEE/IEE Electronic Library, "Scheduling of Storage and Cache Servers For Replicated Multimedia Data" Park Kyeongho; Yanghee Choi; Chong Sang Kim, Dept. of Comput. Eng., Seoul Nat. Univ., South Korea; High Performance Computing on the Information Superhighway, 1997 HPC Asia '97, 18 April - 1 May, 1997, pp. 484-487. |
| DN | C11 | Fibre Channel, Fabric Generic Requirements (FC-FG) Rev. 3.5; ANSI X3.289-199x; X3T11/Project958-D; Working Draft Proposed American National Standard for Information Systems, August 7, 1996, pp. i-x, 1-23. |
| DN | C12 | IEEE/IEE Electronic Library, "The Design and Implementation of a Multimedia Storage Server to Support Video-On-Demand Applications" Molano, A.; Garcia-Martinez, A.; Vina A.; Univ. Autonoma de Madrid, Spain; EUROMICRO Conference, Sept. 2-5, 1996, pp. 564-571. |
| DN | C13 | IEEE/IEE Electronic Library; "Techniques for Increasing the Stream Capacity of a Multimedia Server" Jadav, D.; Choudhary, A.; ECE Dept., Syracuse Univ., NY, 3 rd Intl. Conf. on High Performance Computing, December 19-22, 1996, pp. 43-48. |
| DN | C14 | IEEE/IEE Electronic Library, "MMPacking: A Load and Storage Balancing Algorithm for Distributed Multimedia Servers" Serpanos, D.N.; Georgiadis, L.; Bouloutas, T.; IBM Thomas J. Watson Res. Center, Yorktown Heights, NY; 1996 IEEE Int'l Conf. on Computer Design VLSI in Computers and Processors, October 7-9, 1996, pp. 170-174 |

EXAMINER:

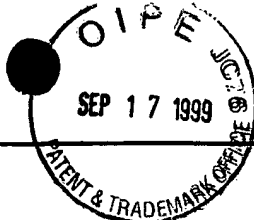
Dush Wanyez

DATE CONSIDERED:

09/06/02

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)



Form PTO-1449 (modified)

Atty. Docket No.
EMCR:039Serial No.
Unknown

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicants

Uresh K. Vahalia & Percy Tzelnic

Filing Date:

March 3, 1999

Group:

Unknown

U.S. Patent Documents

See Page 1

Foreign Patent Documents

See Page 2

Other Art

See Page 2

Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

| Exam. Init. | Ref. Des. | Citation |
|-------------|-----------|--|
| DN | C15 | Fibre Channel, Generic Services (FC-GS) Rev. 3.1, dpANS X3.288-199x X3T11/Project 1050D; Working Draft Proposed American National Standard for Information Systems, August 7, 1996, pp. i-xiv, 1-84. |
| DN | C16 | RFC 1910, RFC Archive; "User-Based Security Model for SNMPv2", G. Waters, Editor, Bell-Northern Research Ltd., February 1996, pp. 1-40. |
| DN | C17 | IEEE/IEE Electronic Library, "High-Performance VOD Server AIMS" Nishikawa, K.; Egawa, H.; Kawai, O.; Inamoto, Y.; Fujitsu Labs. Ltd., Kawasaki, Japan; Global Telecommunications Conference, November 13-17, 1995, pp. 795-798. |
| DN | C18 | Fibre Channel Arbitrated Loop (FC-AL) Rev. 4.5; X3.272-199x X3T11/Project 960D; Working Draft Proposal American National Standard For Information Technology, June 1, 1995, pp. i-x, 1-92. |
| DN | C19 | IEEE/IEE Electronic Library, "Multimedia Servers-design and Performance" Ghafir, H.; Chadwick, H.; IBM Corp., Bethesda, MD; Global Telecommunications Conference, November 28-December 2, 1994, pp. 886-890. |
| DN | C20 | IEEE/IEE Electronic Library, "Multimedia Storage Servers: A Tutorial" Gemmell, D.J.; Vin, H.M.; Kandlur, D.D.; Venkat Rangan, P.; Rowe, L.A.; Simon Fraser Univ., Burnaby, BC, Canada; Computer, May 1995, pp. 40-49. |
| DN | C21 | IEEE/IEE Electronic Library, "An Observation-Based Admission Control Algorithm For Multimedia Servers" Vin, H.M.; Goyal, A.; Goyal, A.; Goyal, P.; Dept. of Comput. Sci., Texas Univ., Austin, TX; International Conference on Multimedia Computing and Systems, 1994, May 15-19, 1994, pp. 234-243. |
| DN | C22 | "Symmetrix Model 55XX Product Manual, P/N 200-810-550 Rev D" EMC Corporation, Hopkinton, Mass., May 1994, pp. 1-236. |
| DN | C23 | IEEE/IEE Electronic Library, "Data Organization and Storage Hierarchies in a Multimedia Server" Christodoulakis, S.; Anestopoulos, D.; Argyropoulos, S.; Tech. Univ. of Crete, Chania, Greece; Compcon Spring '93, February 22-26, 1993, pp. 596-604. |

EXAMINER:

DATE CONSIDERED:

09/06/02

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)

SEP 17 1999

Page 5 of 5

Form PTO-1449 (modified)

Atty. Docket No.
EMCR:039

Serial No.
Unknown

List of Patents and Publications for Applicant's

INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

Applicants

Uresh K. Vahalia & Percy Tzelnic

Filing Date:

March 3, 1999

Group:

Unknown

U.S. Patent Documents

See Page 1

Foreign Patent Documents

See Page 2

Other Art

See Page 2

Other Art (Including Author, Title, Date Pertinent Pages, Etc.)

| Exam. Init. | Ref. Des. | Citation |
|----------------|--------------|--|
| DN | C24 | Lev Vaitzblitr; "The Design and Implementation of a High-Bandwidth File Server for Continuous Media" Thesis, Master of Science, Massachusetts Institute of Technology, Cambridge, Mass., September 1991, pp. 1-95. |
| DN | C25 | J. Case, M. Fedor, M. Schoffstall, J. Davin, "A Simple Network Management Protocol (SNMP)," May 1990, MIT Laboratory for Computer Science, Cambridge, Mass., pp. 1-35. |
| DN | C26 | Ulyless Black, "TCP/IP and Related Protocols", McGraw-Hill, Inc., New York, N.Y., pp. 304-130. |

RECEIVED

NOV 22 1999

TECH CENTER 2700

EXAMINER:

[Signature]

DATE CONSIDERED:

09/06/02

EXAMINER: INITIAL IF REFERENCE CONSIDERED, WHETHER OR NOT CITATION IS IN CONFORMANCE WITH MPEP609; DRAW LINE THROUGH CITATION IF NOT IN CONFORMANCE AND NOT CONSIDERED. INCLUDE COPY OF THIS FORM WITH NEXT COMMUNICATION TO APPLICANT.

INFORMATION DISCLOSURE STATEMENT — PTO-1449 (MODIFIED)